

10/09/01
11050 U.S. PTO

09/97/3629

| | | |
|--|--|--|
| UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional applications under 37 C.F.R. § 1.53(b)) | Attorney Docket No. | To be Determined |
| | First Inventor or Application Identifier | Cheng et al. |
| | Title | An Integrated Biochip System for Sample Preparation and Analysis |
| | Express Mail Label No. | EL892180268 US |
| APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents | ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington, DC 20231 | |
| 1. <input checked="" type="checkbox"/> * Fee Transmittal Form (e.g. PTO/SB/17) (Submit an original and a duplicate for fee processing) 2. <input checked="" type="checkbox"/> Specification [Total Pages of Application [125]] 3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets [49]] 4. Oath or Declaration a. <input checked="" type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. § 1.63(d)) (For continuation/divisional with Box 16 completed) i. <input type="checkbox"/> <u>DELETION OF INVENTOR(S)</u> Signed statement attached deleting inventor(s) named in the prior application See 37 C.F.R. §§ 1.63(d)(2) and 1.33(b). *NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27); EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28). 5. <input type="checkbox"/> Microfiche Computer Program (Appendix) 6. Nucleotide and/or Amino Acid Sequence Submission (If applicable, all necessary) a. <input type="checkbox"/> Computer Readable Copy b. <input type="checkbox"/> Paper Copy (identical to computer copy) c. <input type="checkbox"/> Statement verifying identity of above copies | | |

11050 U.S. PTO
09/97/3629
10/09/01

ACCOMPANYING APPLICATION PARTS

7. ☐ Assignment Papers (cover sheet & documents(s))
8. ☐ 37 C.F.R. § 3.73(b) Statement
(when there is an assignee)
- ☐ Power of Attorney
9. ☐ English Translation Document (if applicable)
10. ☐ Information Disclosure Statement (IDS)/PTO-1449
☐ Copies of IDS Citations
11. ☐ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
13. ☒ Small Entity Assertions
☐ Statement filed in prior application. Status still proper and desired
14. ☐ Certified Copy of Priority Document(s)
(If foreign priority is claimed)
15. ☒ Other: Certificate of Mailing by Express Mail

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) Of prior application No: _____

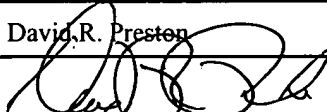
Prior application Information: Examiner _____ Group Art Unit _____

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE INFORMATION

☒ Customer Number 24232 or Bar Code Label [] or

☐ Correspondence address below

| | | | |
|--------------------------|---|-----------------------------------|-------------|
| Name | | David R. Preston & Associates | |
| Address | | 12625 High Bluff Drive, Suite 205 | |
| City, State and Zip Code | | San Diego, California 92130 | |
| Country | | USA | |
| Telephone | | 858.724.0375 | |
| Facsimile | | 858.724.0384 | |
| Name | David R. Preston | Registration Number | 38,710 |
| Signature |  | Date | Oct 8, 2001 |

Corresponds to PTO/SB/05

Utility Application Transmittal Form

EL8928026805

| FEE TRANSMITTAL | | Complete if Known | |
|-------------------------|-----------|-----------------------|--------------------|
| | | Application Number: | To be Determined |
| | | Filing Date: | Herewith |
| | | First Named Inventor: | Cheng et al. |
| | | Group / Art Unit: | To be determined |
| Total Amount of Payment | \$ 568.00 | Docket Number: | ART-00105.P.1.1-US |

| METHOD OF PAYMENT | |
|--|--|
| 1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to: Deposit Account Number: <input type="checkbox"/> Deposit Account Name: <input type="checkbox"/> <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 C.F.R. §§ 1.16 and 1.17 to <u>Deposit Account Number 50132</u> <input type="checkbox"/> Charge the Issue Fee Set in 37 C.F.R. § 1.18 at the Mailing of the Notice of Allowance. | |
| 2. <input checked="" type="checkbox"/> Payment Enclosed <input checked="" type="checkbox"/> Check Number <u>979</u> <input type="checkbox"/> Money Order <input type="checkbox"/> Other | |

| FEE CALCULATION | | | | | | |
|---------------------|-----------------------|-----------------------|-----------------------|-----------------------|------------------------|-----------|
| 1. BASIC FILING FEE | | | | | | |
| | Large Entity Fee Code | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description | Fee Paid |
| | 101 | | 201 | 370.00 | Utility Filing Fee | \$ 370.00 |
| | 106 | | 206 | | Design Filing Fee | \$ |
| | 107 | | 207 | | Plant Filing Fee | \$ |
| | 108 | | 208 | | Reissue Filing Fee | \$ |
| | 114 | | 214 | | Provisional Filing Fee | \$ |
| SUBTOTAL (1) | | | | | | \$ 370.00 |

TECOT 62666

2. EXTRA CLAIM FEES

| | | | | Extra Claims | | Fee From Below | | Fee Paid |
|-----------------------|------|--------|--------|-----------------|-------|-------------------|--------|----------|
| Total Claims | [42] | -20 ** | Equals | [22] | Times | [9.00] | Equals | \$198.00 |
| Independent Claims | [1] | -3 ** | Equals | [0] | Times | [] | Equals | \$ 0.00 |
| Subtotal (2) | | | | | | | | \$198.00 |

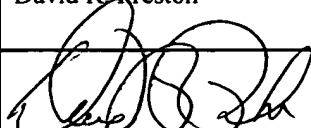
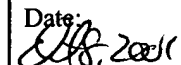
** or number previously paid, if greater, For Reissues, see below

| | Large Entity | | Small Entity | | Fee Description |
|--|--------------|----------|--------------|----------|--|
| | Fee Code | Fee (\$) | Fee Code | Fee (\$) | |
| | 103 | | 203 | 9.00 | Claims in excess of 20 |
| | 102 | | 202 | 42.00 | Independent claims in excess of 3 |
| | 104 | | 204 | | Multiple dependent claim, if not paid |
| | 109 | | 209 | | ** Reissue independent claims over original patent |
| | 110 | | 210 | | ** Reissue claims in excess of 20 and over original patent |

PTO/SB/17

| 3. ADDITIONAL FEES | | | | | |
|----------------------|----------|--------------|----------|--|----------|
| Large Entity | | Small Entity | | Fee Description | Fee Paid |
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | |
| 105 | | 205 | | Surcharge - late filing fee or oath | \$ |
| 127 | | 227 | | Surcharge - late provisional filing fee or cover sheet | \$ |
| 139 | | 139 | | Non-English specification | \$ |
| 147 | | 147 | | For filing a request for reexamination | \$ |
| 112 | | 112 | | Requesting publication of SIR prior to Examiner action | \$ |
| 113 | | 113 | | Requesting publication of SIR after Examiner action | \$ |
| 115 | | 215 | | Extension for reply within first month | \$ |
| 116 | | 216 | | Extension for reply within second month | \$ |
| 117 | | 217 | | Extension for reply within third month | \$ |
| 118 | | 218 | | Extension for reply within fourth month | \$ |
| 128 | | 228 | | Extension for reply within fifth month | \$ |
| 119 | | 219 | | Notice of Appeal | \$ |
| 120 | | 220 | | Filing a brief in support of an appeal | \$ |
| 121 | | 221 | | Request for oral hearing | \$ |
| 138 | | 138 | | Petition to institute a public use proceeding | \$ |
| 140 | | 240 | | Petition or revive - unavoidable | \$ |
| 141 | | 241 | | Petition or revive - unintentional | \$ |
| 142 | | 242 | | Utility issue fee (or reissue) | \$ |
| 143 | | 243 | | Design issue fee | \$ |
| 144 | | 244 | | Plant issue fee | \$ |
| 122 | | 122 | | Petitions to the Commissioner | \$ |
| 123 | | 123 | | Petitions related to provisional applications | \$ |
| 126 | | 126 | | Submission of Information Disclosure Statement | \$ |
| 581 | | 581 | | Recording each patent assignment per property | \$ |
| 146 | | 246 | | Filing a submission after final rejection (37 C.F.R. 1.129(a)) | \$ |
| 149 | | 249 | | For each additional invention to be examined (37 CFR 1.129(b)) | \$ |
| Other fee (specify): | | | | | \$ |
| | | | | | |
| Subtotal (3) | | | | | \$ 0.00 |

| 4. SUMMATION OF FEES | |
|----------------------|-----------|
| SUBTOTAL (1) | \$ 370.00 |
| SUBTOTAL (2) | \$ 198.00 |
| SUBTOTAL (3) | \$ 0.00 |
| TOTAL FEES | \$ 568.00 |

| SUBMITTED BY | | | Complete (If Applicable) | |
|-----------------------|---|--|--------------------------------|--------|
| Typed or Printed Name | David R. Preston | | Registration Number: | 38,710 |
| Signature |  | Date:  | Deposit Account User ID Number | 50132 |

406004-6292660

10/09/01
1132 U.S. PTO

10-10-01
David R. Preston & Associates
12625 High Bluff Drive
Suite 205
San Diego, California 92130

David R. Preston, Ph.D, J.D.
preston@drpna.com

Thomas D. Foster*
foster@drpna.com

*Of Counsel
*A Professional Corporation

11000 U.S. PTO
09/973629
10/09/01

Box Utility Patent Application

"Express Mail" Mailing Label Number: EL892180268US

Date of Deposit: October 9, 2001

Assistant Commissioner for Patents
Washington DC 20231

Re: Utility Patent Application
Entitled: An Integrated Biochip System for Sample Preparation and Analysis
Appl. No.: To be determined
Filed: Herewith
Inventor: Cheng et al.
Our Ref.: ART-00105.P.1.1-US

Sir:

The following documents are forwarded herewith for appropriate action by the United States Patent and Trademark Office:

1. Utility Patent Application Transmittal (in duplicate);
2. Fee Transmittal (in duplicate);
3. Declaration for Utility or Design Patent Application;
4. Complete U.S. Patent Application entitled:

An Integrated Biochip System for Sample Preparation and Analysis

David R. Preston & Associates
DRPNA
www.q-creative.com/drpreston
phone: 858.724.0375
facsimile: 858.724.0384

and naming as inventors

**Jing Cheng
Xiaobo Wang
Lei Wu
Weiping Yang
Junquan Xu**

the utility application comprising:

- a) Total pages of application: [125]
- b) Pages of specification: [70];
- c) Pages of Figures: [49] Number of Figures: [19];
- d) Pages of Title Page: 1;
- e) Pages of Abstract: 1;
- f) Pages of Claims: [4]; [42] Claims.

- 5. Small entity statement, small business concern;
- 6. Small entity statement, non-profit organization
- 7. One Return Post Card; and
- 8. Our Check Number 979 for \$ 568.00 to cover the Application Fee.

It is respectfully requested that the attached postcard be stamped with the filing date and unofficial application number and returned as soon as possible.

Please apply any charges not covered, or any credits, to **Deposit Account 501321** in the name of **David R. Preston & Associates** having **Customer No.: 24232**.

David R. Preston, Esquire
Registration No. 38,710

David R. Preston
David R. Preston & Associates
12625 High Bluff Drive
Suite 205
San Diego, California 92130
858.724.0375

DAVID R. PRESTON & ASSOCIATE

David R. Preston
Attorney for Applicant
Registration No. 38,710

Patent Office Cover Letter